

**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

|                          |                         |
|--------------------------|-------------------------|
| Attorney Docket Number   | 06878.114501            |
| First Named Inventor     | Emerson P. Jones, et al |
| <b>COMPLETE IF KNOWN</b> |                         |
| Application Number       | 10 / 676,297            |
| Filing Date              | September 30, 2003      |
| Group Art Unit           | To Be Assigned          |
| Examiner Name            | To Be Assigned          |

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND SYSTEM FOR ANALYZING A CAPITAL STRUCTURE FOR  
A COMPANY

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 09/30/2003 as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed     | Certified Copy Attached? |                          |
|-------------------------------------|---------|----------------------------------|--------------------------|--------------------------|--------------------------|
|                                     |         |                                  |                          | YES                      | NO                       |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]


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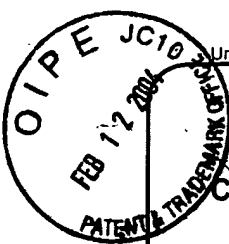
## DECLARATION — Utility or Design Patent Application

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| I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. |  |   |  |  |  |
| NAME OF SOLE OR FIRST INVENTOR:   |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |  |  |  |
| Given Name<br>(first and middle [if any])   |  | Family Name<br>or Surname   |  |  |  |
| Emerson P.  |  | Jones   |  |  |  |
| Inventor's<br>Signature   |  | EPJ   |  | Date 11 Dec 2003   |  |
| Residence: City   |  | State   |  | Country  |  |
| Greenwich   |  | CT  |  | US   |  |
| Citizenship   |  | US  |  |  |  |
| Mailing Address 72 Rockwood Lane  |  |   |  |  |  |
| City  |  | State   |  | Country  |  |
| Greenwich   |  | CT  |  | US   |  |
| ZIP   |  | 06830   |  |  |  |
| NAME OF SECOND INVENTOR:  |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor |  |  |  |
| Given Name<br>(first and middle [if any])   |  | Family Name<br>or Surname   |  |  |  |
| Erol  |  | Hakanoglu   |  |  |  |
| Inventor's<br>Signature   |  |   |  | Date   |  |
| Residence: City   |  | State   |  | Country  |  |
| New York  |  | NY  |  | US   |  |
| Citizenship   |  | US  |  |  |  |
| Mailing Address 161 East 65th Street  |  |   |  |  |  |
| City  |  | State   |  | Country  |  |
| New York  |  | NY  |  | US   |  |
| ZIP   |  | 10021   |  |  |  |
| <input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.   |  |   |  |  |  |

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| Given Name<br>(first and middle [if any])   |  |           | Family Name<br>or Surname   |  |     |
| Erol  |  |           | Hakanoglu   |  |     |
| Inventor's<br>Signature   |  |           |   | Date   |     |
|    |  |           |   | 12/10/2003   |     |
| Residence: City   |  | State     | Country   | Citizenship  |     |
| New York  |  | NY        | US  | US   |     |
| Mailing Address 161 East 65th Street  |  |           |   |  |     |
| City  |  | State     | ZIP   | Country  |     |
| New York  |  | NY        | 10021   | US   |     |
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and  
CORRESPONDENCE ADDRESS  
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|                        |   |
|------------------------|---|
| Application Number     | 10/676,297  |
| Filing Date            | 09/30/2003  |
| First Named Inventor   | Emerson P. Jones, et al                                       |
| Title                  | METHOD AND SYSTEM FOR ANALYZING A CAPITAL STRUCTURE FOR A ... |
| Art Unit               | To Be Assigned  |
| Examiner Name          | To Be Assigned  |
| Attorney Docket Number | 06878.114501  |

I hereby appoint:

☒ Practitioners at Customer Number: 32,361

OR

☐ Practitioner(s) named below:

| Name | Registration Number |
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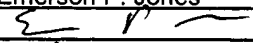
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| City   |  | State |  | Zip |  |
| Country  |  |       |  |     |  |
| Telephone  |  | Fax   |  |     |  |

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

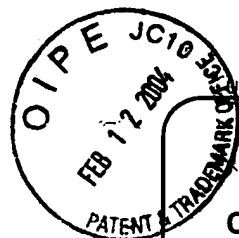
|           |   |           |              |
|-----------|---|-----------|--------------|
| Name      | Emerson P. Jones  |           |              |
| Signature |  |           |              |
| Date      | 11 Dec 2003   | Telephone | 203-622-1588 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| Examiner Name          | To Be Assigned  |
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I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Name Erol Hakanoglu

Signature *Erol Hakanoglu*

Date 12/10/2003

Telephone (212) 902 7057

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

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